



INFORMATION FLOW MAPPING EXERCISE

USER GUIDE

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Introduction

You are required to complete information flow maps in relation to yourself as an individual (or on behalf of a team/department/service where a practice is common) details of arrangements for the transfer of (sending or receipt, or both) Person-Identifiable Details (PID) or otherwise service or business-sensitive information, the loss or mis-routing of which could result in a breach of confidentiality and/or lead to a questioning or loss of the BMBC's reputation either locally or nationally.

PID can apply to service users and staff and applies to any items of data that can solely or in combination uniquely identify an individual, such as name; address/postcode; date of birth; service/department; conditions. Always think of yourself as the subject and how appropriate/justifiable you consider the exchange of information would be. Additional guidance can be viewed at Appendix A.

The purpose of this exercise is to map the flow of such information within and outside BMBC, assess any risk associated with these activities and ensure that they are being conducted in a secure and confidential manner, to the benefit of all concerned.

An input form, in the form of a spreadsheet has been devised to assist with the capture of the information flows. Please follow the instructions below to assist in completing the spreadsheet.

Example Information Flow

It is important to be aware that for one piece of information there may be two flows - outbound and inbound. For example a care plan. A care manager will send out the care plan to the service user for signature (outbound) and the service user will return the signed care plan (inbound) to the social services office. Therefore the flow should be completed as below:

Flow 1 - Outbound

Information Flow Mapping Questionnaire		
General Information		
Directorate/Dept	Information Services	
Completed By	dianea	Date 27/10/2009
Work Area	Information Services	
Data Category	Service User Record	
Detail	Care Plan	
Data Flow Direction	Out Flow	
Number of Records Involved	1	
Purpose of the data transfer:	Service user signature	
Personal Identifiable Info	Personal Identifiable	
		Notes Sensitive information Racial or ethnic origin Political opinions Religious beliefs Trade union membership Physical or mental health Sexual life Offences/alleged offences. Personal Identifiable Info (PII) Name Address (home or business) Postcode NHS No Email address Date of birth Driving licence number Telephone numbers Local Patient Identifier National Insurance No
		Next

Information Flow Mapping Questionnaire	
Locations, Sources / Destinations	
Is it an internal or external transfer	External
External transfers - is the location in UK, EEA, outside EEA ?	UK
Name of Internal department/external organisation transferred to or from	
Service user	
How often does the data transfer occur	Ad hoc
Notes How often does this transfer occur e.g. spreadsheet sent weekly	
Previous	Next

Information Flow Mapping Questionnaire

How is the Data Transferred ?

How is the data transferred

is the data on removable media ?

If removable media, is the data encrypted ?

Is the data in a sealed envelope, fully addressed and marked as private/confidential?

Is it posted by tracked post (special delivery)

Previous

Notes
If electronic (e.g. dvd/cd/memory sticks etc.) is the data encrypted ?

Flow 2 - Inbound

The care plan is then returned to the office.

A New Record should now be created.

Information Flow Mapping Questionnaire

General Information

Directorate/Dept

Completed By Date

Work Area

Data Category

Detail

Data Flow Direction

Number of Records Involved

Purpose of the data transfer:

Personal Identifiable Info

Next

Notes
Please provide details of the data category / purpose.
E.g. if a care plan, posted to service user for signature

Information Flow Mapping Questionnaire

Locations, Sources / Destinations

Is it an internal or external transfer

External transfers - is the location in UK, EEA, outside EEA ?

Name of Internal department/external organisation transferred to or from

How often does the data transfer occur

Notes

How often does this transfer occur

e.g. spreadsheet sent weekly

Information Flow Mapping Questionnaire

How is the Data Transferred ?

How is the data transferred

is the data on removable media ?

If removable media, is the data encrypted ?

Is the data in a sealed envelope, fully addressed and marked as private/confidential?

Is it posted by tracked post (special delivery)

Do you confirm receipt of the posted item ?

Notes

Please select the appropriate format from the list

If you are completing the information flow mapping for your own service and another service, you will be given two logins and passwords so that we can distinguish between the service areas.

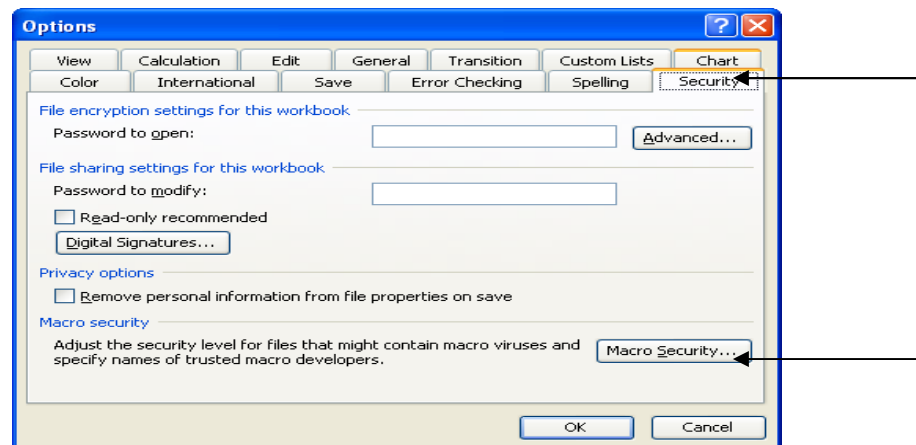
It would be helpful if you could raise any queries you have via e-mail to dianearkwright@barnsley.gov.uk. This will help to manage the volume.

Getting Started

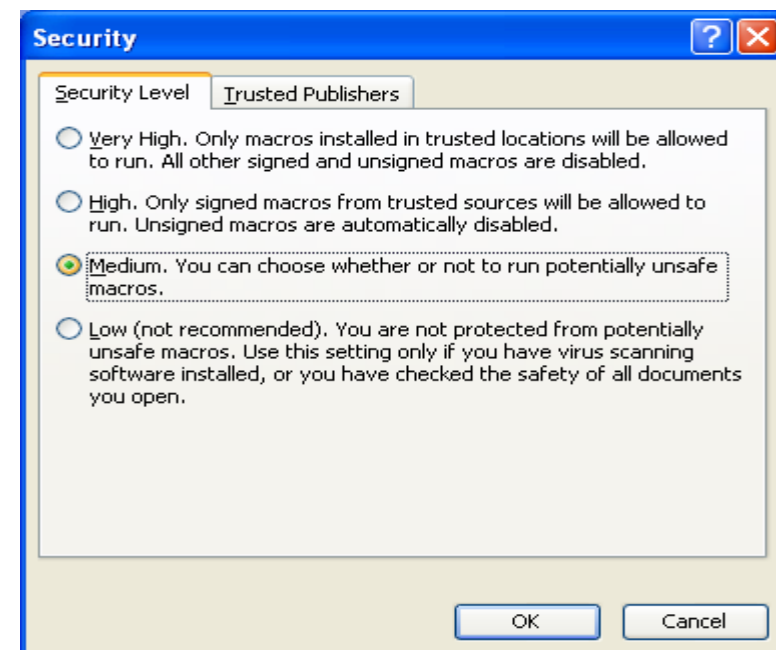
STEP 1 - Set the security level

The input form has been devised in Microsoft Excel. You need to ensure that the correct security level is set.

Open up Microsoft Excel. Click onto Tools then Options. Click onto the Security tab as shown below. Then click onto Macros Security



Set the security level to medium as shown below:



Click OK.

STEP 2 - Save the Spreadsheet

The spreadsheet will have been e-mailed to you.

In the e-mail double click onto the spreadsheet, click Save.

Select the location (eg your own drive). Click Save.

STEP 3 - Log-in

Open up the spreadsheet you have saved. Click Enable Macros.

Enter your username (your usual username). Enter in the password - this will have been given to you. Click OK.

You are now ready to enter data and the screen will be displayed as shown below.

The screenshot shows a Microsoft Excel spreadsheet titled "Microsoft Excel - IFMQ". The spreadsheet contains a form for the "Information Flow Mapping Questionnaire" and a table of data. The form includes fields for "Directorate/Dept" (pre-populated with "Information Services"), "User Name" (pre-populated with "dianea"), and a "Refresh" button. The table has columns for "ID", "Directorate/Dept", "Work Area", "DataCategory", "Type", and "Completed B: Date". The table contains three rows of data, with the first row highlighted in yellow. Arrows point to various elements: "Pre-populated DO NOT change" points to the "Directorate/Dept" field; "Refresh" points to the "Refresh" button; "Cursor bar" points to the row selection bar on the left; "New Record" points to the "New Record" button; "Update Record" points to the "Update Record" button; and "Created records" points to the data table.

Pre-populated
DO NOT
change

Refresh

Cursor bar

New Record

Update Record

Created records

ID	Directorate/Dept	Work Area	DataCategory	Type	Completed B: Date
44	Information Services	Other	Care Plan Letter	This is a test	stevenl 26/10/2009
61	Information Services	Information Services	Case File	ddsd	stevenl 26/10/2009
82	Information Services	Information Services	Spreadsheet	budgets	stevenl 26/10/2009

STEP 4 - Entering a New Record

Click onto the button New Record.

Using the drop down field and/or text boxes enter in the relevant information on the first screen.

Click the next button. Enter in the relevant information. Click the next button.

NOTE : you must complete all the relevant fields, otherwise an error message will occur.

Once the three screens have been completed. Click the save button. The record entered will be displayed as shown above.

Click onto the New Record button to enter further flows.

STEP 5 - Updating a Record

This should only be used in the following circumstances -

- (i) A mistake has been made
- (ii) Advice received from the Information Governance Officer where changes to the flow have been made.

Click onto the relevant line of the record you wish to update (NOTE - you can click onto any field to highlight the record with the exception of the ID field).

Click the Update Record button.

Enter in the changes. Click Save.

NOTE : the refresh button will re-populate the list.

Included Information

1. All Person Identifiable Data (e.g. service user, contractor, staff) supplied with a reasonable expectation of being used in confidence including documents which contain personal data such as employment and other contracts, minutes and agendas from formal committee meetings e.g. assessment panels, case conferences in addition to personnel records, health records, case records, patient notes.

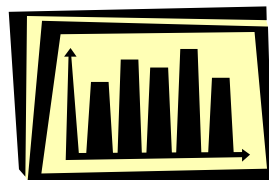
Data Item - Case Notes



2. Person identifiable data of the deceased.

3. The NHS Number (as it is a unique identifier and is therefore Person Identifiable Data).

Excluded Information



4. Information that poses no security threat because it is:

- × Fully anonymised (including statistics)
- × Personal data but no confidentiality restrictions apply e.g. staff names and contact details contained in patient / public information leaflets, newspaper articles, approved versions of public board meetings; annual reports)

× Already lawfully available in the public domain (e.g. public appointment details, names of staff occupying publicly accountable posts and public facing staff)



Included Formats

5. Mapping should be carried out on information formats which have physical properties. It could be in hard copy or digital format such as:

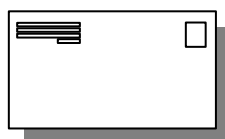
Digital e.g.:

- ✓ Computers
- ✓ CDs, DVD
- ✓ Audio and Video tapes
- ✓ Floppy discs
- ✓ Back up tapes
- ✓ Telephone answering machine messages
- ✓ On-line registration systems
- ✓ Digital Photographs on a Camera
- ✓ SMS Text Message



Hard Copy e.g.:

- ✓ Printed Letters
- ✓ Printed Documents
- ✓ Printed Reports
- ✓ Computer printouts



- ✓ Printed Photographs & Negatives
- ✓ Files
- ✓ Microfiche
- ✓ Notepads
- ✓ Diaries
- ✓ P45
- ✓ P60

Excluded Formats

6. Information formats that cannot be stored as it does not exist in physical form:

- × Face to face discussions / briefings
- × Telephone conversations
- × Video / Conference Calls

7. If discussions are recorded, notes taken or printouts made then this action will create information in digital or hard copy format. Subsequent transfers of the new format may need to be included.

Included Transfer Methods

8. The methods of transfer will include:

- ✓ Email
- ✓ Fax
- ✓ Post / Courier
- ✓ Text Message
- ✓ Automatic system transfer
- ✓ Manual upload to system
- ✓ Staff taking information off-site or to a location
- ✓ Hand Delivery by Staff



9. Memory sticks are highly susceptible to loss and the use of these should be closely controlled in accordance with the Information Security Policy.

Included Locations / Organisation Areas

10. All transfers that take place or are expected to take place:

- ✓ In or out of the Organisation
- ✓ Between departments on separate sites within the Organisation



11. This could include transfers to NHS organisations, courts, solicitors, insurance companies, disposal sites, storage, archives, information sharing partnership organisations, patients (letters, Data Protection Act Subject Access Requests (SARs) etc). Transfers between departments are included as these may be on different sites or deal with high volumes of transfers.

Excluded Locations / Organisation Areas

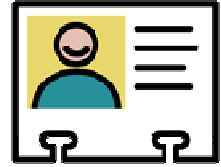
12. The following can be excluded:

- × Transfers between professionals in the same building / location e.g. patient notes or health records during normal episodes of care

- × Unforeseen and unexpected transfers (though security measures will still apply)

What Is Personal Identifiable Data?

13. Personal Identifiable Data (PID) is information (an identifier) about a person e.g. a patient, client, service user or staff, from which the individual could be singled out from others. It may be a single or combination of two or more identifiers such as:



- ✓ Name
- ✓ Address (home or business)
- ✓ Postcode (e.g. a house in rural area)
- ✓ NHS No
- ✓ Email address
- ✓ Date of birth
- ✓ Driving licence number (date of birth and first part of surname)
- ✓ Telephone numbers
- ✓ Local Patient Identifier
- ✓ National Insurance No

A single identifier may be fairly explicit such as an unusual surname, an isolated postcode or combination such as of postcode and telephone number

Information that is not generally considered personally identifiable, because they are traits shared by many people, include:

- ✓ First or last name, if common
- ✓ Country, state, or city of residence
- ✓ Age, especially if non-specific
- ✓ Gender or race
- ✓ Name of the school they attend or workplace
- ✓ Grades, salary, or job position
- ✓ Criminal record

What is Sensitive information?

This is information which is usually treated confidentially and whose loss, misdirection or loss of integrity could impact adversely on individuals, the organisation, and a number of individuals or on the wider community. Personal information becomes sensitive if it includes any of the following types of information about an identifiable, living individual:

- ✓ Racial or ethnic origin
- ✓ Political opinions
- ✓ Religious beliefs
- ✓ Trade union membership
- ✓ Physical or mental health
- ✓ Sexual life
- ✓ Commission of offences or alleged offences

Information about an individual's financial arrangements or specific to an organisation's business operations, finance or security is also likely to be deemed "sensitive".

APPENDIX B

Suggested flows of information to consider (note this is not an exhaustive list and there may be many more information flows in individual services).

Document
Absence returns and sick notes
Blips
Cancellation forms
Capacity assessments
Care Plans
Care Plan Letters
Carers assessment
Case file
Compliments and Complaints and returns
Contact Assessments to other agencies and other agencies in
Continuing Care documents
Daily Journals
Day care returns
Duty Book
Department of Work & Pensions letter
E-mails containing PID
Faxes containing PID
Financial circumstances forms
Health & Safety Risk Assessment forms
Home care monitoring forms
Homecare respite vouchers
IB cancellation forms
IB letter to client
IB questionnaire
ID badges
Invoices
Letters containing PID
Letter of Intent
Message pads
Mileage claim forms
Monitoring forms (home care)
Notification of death
Old diaries

One off payment IB
Orders
Pay slips
Personal Development Reviews
Penderel's Referral Forms
Personal Circumstance forms
RAS forms (IB's)
Residential respite vouchers
Review Forms
Safeguarding minutes (and any other related documentation)
Safeguarding alert forms
Schedule of Agreement
Self directed support agreements
Self Directed Support costings
Spreadsheets with budgetary information
Spreadsheets holding client details when cases allocated by PCM or TM.
Spreadsheets holding IB information with client details
Supervision Files
Supervision notes
Support Plans
Support Plan Letter
System access request form
Team Meeting minutes
Telecare Referrals
Training forms
Using personal mobile to make work calls to service users
Voucher audit forms
Welfare Right checklist
Yellow Fairer Charging Forms

Member States of the European Economic Area

Austria	Greece	Netherlands
Belgium	Hungary	<i>*Norway</i>
Bulgaria	<i>*Iceland</i>	Poland
Republic of Cyprus	Ireland	Portugal
Czech Republic	Italy	Romania
Denmark	Latvia	Slovakia
Estonia	<i>*Liechtenstein</i>	Slovenia
Finland	Lithuania	Spain
France	Luxembourg	Sweden
Germany	Malta	United Kingdom

* Iceland, Liechtenstein and Norway are EEA member states, but they are not members of the European Union (EU).